

# **AGENCY STRATEGIC PLAN**

**For the Fiscal Years 2005-09 Period**

**by**

**Texas Ethics Commission**

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# **PLANNING FOR PROGRESS**

## **The Mission of Texas State Government**

Texas State Government will be limited, efficient, and completely accountable. It should foster opportunity and economic prosperity, focus on critical priorities, and support the creation of strong family environments for our children. The stewards of the public trust will be men and women who administer state government in a fair, just, and responsible manner. To honor the public trust, state officials must seek new and innovative ways to meet state government priorities in a fiscally responsible manner.

## **The Philosophy of Texas State Government**

The task before all state public servants is to govern in a manner worthy of this great state. We are a great enterprise, and as an enterprise we will promote the following core principles.

- First and foremost, Texas matters most. This is the overarching, guiding principle by which we will make decisions. Our state, and its future, is more important than party, politics or individual recognition.
- Government should be limited in size and mission, but it must be highly effective in performing the tasks it undertakes.
- Decisions affecting individual Texans, in most instances, are best made by those individuals, their families, and the local governments closest to their communities.
- Competition is the greatest incentive for achievement and excellence. It inspires ingenuity and requires individuals to set their sights high. And just as competition inspires excellence, a sense of personal responsibility drives individual citizens to do more for their future and the future of those they love.
- Public administration must be open and honest, pursuing the high road rather than the expedient course. We must be accountable to taxpayers for our actions.
- State government has a responsibility to safeguard taxpayer dollars by eliminating waste and abuse, and providing efficient and honest government.
- Finally, state government should be humble, recognizing that all its power and authority is granted to it by the people of Texas, and those who make decisions wielding the power of the state should exercise their authority cautiously and fairly.

*Aim high . . . we are not here to achieve inconsequential things!*

## **STATEWIDE GOAL**

To support effective, efficient, and accountable state government operations and to provide citizens with greater access to government services while reducing service delivery costs.

## **AGENCY MISSION**

The mission of the Texas Ethics Commission is to promote individual participation and confidence in electoral and governmental processes by enforcing and administering applicable laws and by providing information for the people of Texas to enable them to oversee the conduct of public officials and those attempting to influence public officials.

## **AGENCY PHILOSOPHY**

The Texas Ethics Commission will conduct business in an efficient, accurate and courteous manner according to the highest ethical standards. We will be accountable, responsible, and open in our endeavors and dedicated to the people we serve.

## **EXTERNAL/INTERNAL ASSESSMENT**

### **I. Overview of Agency Scope and Functions**

#### *A. Statutory Basis*

The Texas Ethics Commission has both constitutional and statutory duties. The Commission was created effective January 1, 1992, by a voter approved constitutional amendment. This amendment added Article III, Section 24a, to the Texas Constitution. The article establishes an eight-member commission, with four members appointed by the Governor, and two each by the Lieutenant Governor and the Speaker of the Texas House of Representatives. Appointees are selected from lists submitted by the Texas Senate and the Texas House of Representatives. These lists represent individuals from each political party required by law to hold a primary. Accordingly, equal numbers from each major political party are represented on the Commission. Furthermore, by constitutional provision, the members hold staggered four-year terms and annually elect a presiding officer.

Statutory authority for the Commission is outlined in Chapter 571 of the Texas Government Code. The Commission is subject to review, but not abolishment, under Chapter 325 (Texas Sunset Act). The Commission was subject to review in 2003, and will be again subject to review in 2015.

#### *B. Historical Perspective*

The Commission has been in existence for over 12 years. The agency is still relatively young; however, the past 12 years of growth and experience have helped it evolve into an agency that understands its mission and goals and the means by which to achieve them.

The 76th Legislature enacted HB 2611, which required certain Commission filers to submit their campaign finance reports electronically. Although there were a number of statutory exceptions to that requirement, HB 2611 was significant in that for the first time, electronic filing became mandatory. Most of those exceptions to electronic filing were repealed by the 78th Legislature in HB 1606, which resulted in a significant increase in the number of campaign finance reports that are electronically filed.

The Commission underwent its first review under the Texas Sunset Act beginning in 2001. The sunset review culminated in the enactment of HB 1606 by the 78th Legislature, R.S., which made significant changes to the Commission's sworn complaint procedures as well as numerous substantive changes to the laws administered and enforced by the Commission. HB 1606 also required the Commission to develop and implement a mandatory electronic filing system for lobbyists by December 2004.

*C. Affected Populations*

1. Registered lobbyists
2. Elected and appointed public officials
3. Political committees registered in Texas
4. State agency employees
5. Candidates for office in all political subdivisions
6. All political subdivisions (county, city, school districts, water districts, etc.) in Texas
7. General public

*D. Main Functions*

Constitutionally, the Commission recommends the salary of members of the legislature and the lieutenant governor subject to the approval by the voters at the subsequent general election for state and county officers. The Commission must also set the per diem for members of the legislature and the lieutenant governor.

Statutorily, the Commission is responsible for administering the following laws: (1) Chapter 572, Government Code, regarding personal financial disclosure and conduct of state officers and employees; (2) Chapter 302, Government Code, concerning the election of the Speaker of the Texas House of Representatives; (3) Chapter 303, Government Code, concerning the Governor for a Day and Speaker's Reunion Day ceremonies; (4) Chapter 305, Government Code, relating to lobbyist registration and activities; (5) Title 15, Election Code, governing

political contributions and expenditures, and political advertising; (6) Chapter 2004, Government Code, concerning representation before state agencies; and (7) Chapter 159, Local Government Code, concerning judges of statutory county courts or probate courts who elect to file a financial statement with the Commission. The Commission serves as a repository for reports that are required by these laws; serves as a resource for interpretation of these laws (by issuing advisory opinions); has rulemaking authority with respect to these laws; processes sworn complaints filed in connection with these laws; and provides training for state employees and officeholders for compliance with these laws. Additionally, the Commission may issue advisory opinions about Chapters 36 and 39, Penal Code, concerning bribery, corrupt influence, and abuse of office.

*E. Who Are We in The Public's Perception?*

The Commission is the clearinghouse for reports filed by public officials, candidates for public office, and persons attempting to influence public officials, and the main resource for assistance in understanding the laws administered by the Commission. The Commission is the civil enforcement authority for the laws under its jurisdiction. Furthermore, the Commission is a resource to state agencies for ethics training for state employees.

**II. Organizational Aspects**

*A. Size and Composition of Workforce:*

1. Full-Time Employees – 34
2. Part-Time Employees - 2
3. EEO Composition - Females – 57 percent; Blacks – 6 percent; Hispanics – 20 percent

*B. Organizational Structure and Process*

The Commission is headed by an executive director who oversees six divisions: Enforcement, Disclosure Filings, Advisory Opinions and Education, Administration, Computer Services, and Special Projects. The organizational structure is hierarchical (see Organizational Chart in Appendix B).

**Enforcement Division**

The Commission has the authority to enforce all laws under its jurisdiction except Chapters 36 and 39, Penal Code. Thus, the Commission's enforcement jurisdiction extends to all individuals and entities filing reports with the Commission, as well as to those who file campaign finance reports with local filing authorities such as the county or city clerk. The Commission is authorized to undertake civil enforcement actions on its own motion or in response to a sworn complaint, hold enforcement hearings, issue orders, impose civil penalties, refer matters for criminal prosecution, and deny, suspend, or revoke a lobby registration for specified reasons. A sworn complaint sets in motion a process which may include a preliminary review, a preliminary review hearing, and a formal hearing, and which

permits resolution of the complaint at several points in the process. During most stages of the process, the Commissioners and Commission staff are required to keep the complaint confidential.

The Commission also imposes administrative penalties on filers who are late in filing reports with the Commission. This process is an administrative function and does not require a sworn complaint to be filed. The administrative process involves notifying filers that a report is late and that a penalty may be administratively assessed. Both the Executive Director and members of the Commission have the authority to waive or reduce administrative penalties for reasons specified by rule. A filer who does not pay an administrative penalty is referred to the Office of the Attorney General for collection of the penalty. The Enforcement Division (consisting of 6 FTEs) handles all regulatory functions in addition to providing legal counsel to the agency on daily operational matters. The legal staff is also available to assist callers and visitors to the agency who have questions about any of the laws under the Commission's jurisdiction.

### **Disclosure Filings Division**

The Commission serves as a repository of required disclosure reports for state officials, candidates, political committees, lobbyists, and certain district and county judicial officers. Campaign finance reports filed with the Commission are now required by law to be filed electronically unless the filer is entitled to an exemption. The July 2000 campaign finance report was the first report required to be filed electronically. Beginning in December 2004, lobbyists will be required to file lobby reports electronically unless the filer is entitled to an exemption. All of the other reports filed with the Commission are filed on paper. The Disclosure Filings Division (consisting of 9.5 FTEs) handles the processing and maintenance of all reports received by the Commission. In addition, this division provides information about and copies of disclosure reports filed with the agency, distributes blank disclosure reporting forms upon request, and collects charges for copies as authorized by law.

### **Advisory Opinions and Education Division**

The Commission has the authority to issue advisory opinions about the laws under its jurisdiction, as well as Chapter 36, Penal Code, which includes the laws relating to bribery and benefits to public servants, and Chapter 39, Penal Code, which includes the laws relating to the misuse of government resources. The Commission also provides ethics training to state officers and employees on request, and produces educational materials and conducts training programs for other groups affected by laws administered by the Commission. The Advisory Opinions/Education Division (consisting of 3 FTEs) handles this business function of the agency.

### **Administration Division**

This division (consisting of 6 FTEs) provides the primary support for the agency with respect to accounting and budgeting, human resources, purchasing, secretarial duties, building and equipment maintenance, risk and safety management, and mail services.

## **Computer Services Division**

The Computer Services Division (consisting of 5 FTEs) handles all information technology functions and maintains the Commission's computer network, the electronic filing system and database, and the agency website. This division also provides technical support to filers who are required to file reports electronically with the Commission, and prepares reports in response to open records requests for data from electronic reports.

## **Special Projects Division**

The Special Projects Division (consisting of 3 FTEs) oversees all special projects, such as the lobby electronic filing project. The division also provides technical support to persons filing electronic reports, and prepares special reports required by law.

### *C. Location*

The Ethics Commission is located in the state's capital, Austin, Texas, at 201 E. 14th St. on the tenth floor of the Sam Houston Building. This location is adjacent to the Capitol building on the fringe of the Capitol grounds.

### *D. Geographic Regions Served*

The Ethics Commission serves a customer base that is located throughout the state and nation. Most services are provided by correspondence, Internet or telephone. There is also a core customer base that uses our public viewing room to access the information provided by the Commission. The Commission is continually working to update the amount and types of information available on our website. It is the Commission's goal to provide as much information as possible on-line in order to meet the needs of our customers, regardless of their location.

### *E. Human Resource Strengths and Weaknesses*

The Ethics Commission is fortunate to have a staff that ranges broadly in training and experience. It is necessary in a small agency to have a staff that is diverse in skills because employees are often asked to perform more than one job function. Because the Commission is a small agency, one staff person often performs duties that are typically staffed by an entire department in a large agency. Turnover can be a problem in a small agency since one person may be responsible for entire, and sometimes multiple, agency functions. It is, therefore, critical that people are cross-trained throughout the agency.

Turnover is an important issue in any organization, and the Texas Ethics Commission is no exception. Over the past four fiscal years, the highest turnover (53 percent) occurred within the Administrative Assistant occupation class, which is understandable since that class makes up one third of the agency. Employees that transferred to other state agencies accounted for 13 percent of the total number of separations during that period. As a small



agency, the Commission has less room for advancement and promotion, which accounts for the 33 percent of separating employees who gave inadequate salary and lack of opportunity for advancement as reasons for leaving. Even though the Commission's turnover rate continues to be consistently lower than the State average, the rate has increased each year from a low 9.7 percent in fiscal year 2002 to 13.8 percent in fiscal year 2003.

*F. Capital Asset Strengths and Weaknesses*

The information technology requirements of the Texas Ethics Commission increase each year as a result of the Legislature's trend of moving more and more toward electronic filing. Consequently, with the rapid progression of computer technology, it will be necessary to update computer equipment and software on a regular basis.

*G. Agency Use of Historically Underutilized Businesses*

The Ethics Commission currently follows an established policy that incorporates the use of historically underutilized businesses (HUBs). The Commission consistently strives to incorporate the use of HUBs in its procurement practices; however, since we are a small agency that has few contracts and a low procurement rate, it is sometimes difficult to meet the statewide goal for HUB use.

**III. Fiscal Aspects**

*A. Size of Budget*

The Commission is currently appropriated \$1,770,556 for each year of the biennium covering FY 2004-05. These amounts include appropriated receipts from information requests estimated to be \$25,000 per year. The Commission is also appropriated \$267,400 to develop and implement the mandatory lobby electronic filing system.

*B. Method of Finance*

The method of finance is through the consolidated general revenue fund. The Commission also collects receipts for information on file with the Commission such as copies or disks of reports. These receipts are appropriated to the Commission. The lobby electronic filing system was funded by a one-time \$200 increase in lobby registration fees.

*C. Degree to Which Current Budget Meets Current and Expected Needs*

The Ethics Commission functions primarily as a service agency and, as such, personnel costs form the major expense of the agency. These costs comprise not only salaries but also salary-related costs including retirement, insurance, and FICA. The Commission's present staffing pattern meets existing needs and duties, and the budget for FY 2004-2005 has been adequate to sustain current staffing and service levels. The Texas Ethics Commission's budget will be greatly impacted going forward, however, as our use of information technology increases.

#### **IV. Service Population Demographics**

The Texas Ethics Commission regulates campaign finance and disclosure, lobbying, personal financial disclosure for state officers, and standards of conduct for state officers and employees. Accordingly, our regulated population includes candidates for elective office, elected and appointed officers, state employees, and lobbyists. Candidates, state officers, and lobbyists are a relatively small, self-selected group that is not subject to ordinary demographic indicators. Additionally, the Commission is a resource to administrators of political subdivisions throughout the state for knowledge, education, and forms for the laws we administer.

State employees are a largely white-collar work force, though state employees fill nearly every conceivable job description. Although somewhat concentrated in the Austin area, state employees live and work throughout the state. Nearly a quarter of a million state employees work for approximately 250 state agencies (depending on how the term "state agency" is defined). The Ethics Commission's main responsibility to state employees as a group is to provide them with ethics education and guidelines.

The primary consumer of information on file with the Commission, pursuant to the disclosure statutes we administer, is the media. While the information is available to any person, the general public historically relies on the media as its means to obtaining the disclosed information. In order to best serve all population demographics, however, the Commission is continually updating and increasing the types of information available remotely through the Internet.

#### **V. Technological Developments**

Over the past twelve years the Commission has become acutely dependent upon technology in performing its core job functions. Legislation requiring the electronic filing of certain documents and the public's reliance on obtaining information via the Internet has increased this dependency.

The Commission continues to refine its technology-based systems. Since mandatory electronic filing of campaign finance reports by certain filers began in 2000, the Commission has worked to resolve issues surrounding the campaign finance electronic filing software. Additionally, the Commission continually updates and improves its Web page. The Web page has become a dynamic instrument for disseminating and distributing Commission information.

As a result of legislation passed in 2003, the Commission is required to create an electronic filing system for filing lobbyist registration and activity reports by December 1, 2004. The lobby electronic filing system will consist of software used by lobbyists on their personal computer, the ability to submit electronic payment of the lobby registration fee via the Internet, and expanded search capabilities for lobby information on the Commission's Web page.

## **VI. Impact of Federal Statutes/Regulations**

Currently, federal law has little direct influence on agency functions because federal ethics and campaign finance laws apply to a different set of public servants than those regulated by the Commission. Generally applicable federal laws, such as the Americans with Disabilities Act, of course, affect the Ethics Commission in the same way as any other state agency.

## **VII. Other Issues**

The Ethics Commission was under review by the Sunset Advisory Commission beginning in 2001. That review culminated in the enactment of HB 1606, 78th Legislature, R.S., which made significant changes to the Commission's sworn complaint procedures as well as numerous substantive changes to the laws administered and enforced by the Commission. The Commission implemented those changes by revising filing forms and instructions, brochures, and guides. The Commission has also adopted rules crucial to implementing those changes, and is in the process of reviewing existing rules for conformance with the law. HB 1606 also required the Commission to develop and implement a mandatory electronic filing system for lobbyists, and staff is working to complete that project by December 2004.

## AGENCY GOALS, OBJECTIVES AND MEASURES

**GOAL 1:** To increase the public's ability to access information about public officials, candidates for public office, and persons attempting to influence public officials, and to assist people in understanding their responsibilities under the laws administered by the Commission, thereby enhancing the potential for individual participation in government.

**OBJECTIVE:** To make reports required to be filed with the Commission available to the public within two business days of receipt; to provide responses to advisory opinion requests within 60 days; and to respond to sworn complaints within 5 business days after filing.

**Strategy I: Information Filing. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.**

**Outcomes:** Percent of reports available for public inspection in hard copy within two business days of receipt.

**Outputs:** Number of reports logged within two business days of receipt.

Number of reports received and processed.

**Explanatory:** Percent of reports due filed electronically.

Number of reports filed electronically.

Number of inquiries for information.

Number of lobbyists registered with the Commission.

Number of public officials required to file reports with the Commission.

**Strategy II: Advisory Opinions. Aid the public and those subject to the laws administered and enforced by the Commission in complying with and understanding those laws by responding quickly, accurately, and impartially to advisory opinion requests.**

**Outcomes:** Percent of advisory opinion requests answered by Commission within 60 days of receipt.

**Outputs:** Number of advisory opinions adopted by Commission.

**Efficiencies:** Average time (business days) to answer advisory opinion requests.

Explanatory: Number of advisory opinion requests received.

**Strategy III: Enforcement. Enforce compliance with laws administered by the Ethics Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports.**

Outcomes: Percent of sworn complaints processed within 5 business days after filing.

Percent of complainants and respondents notified within five business days after Commission determination.

Outputs: Number of sworn complaints recommended for resolution.

Number of sworn complaints processed within 5 business days after filing.

Number of sworn complaints processed.

Number of late notices sent to filers.

Efficiencies: Average time (business days) to respond to sworn complaints.

Average time to notify complainants and respondents of Commission determination.

Average time to notify filer of late report.

Explanatory: Percent of sworn complaints resolved within 180 business days of receipt.

Number of late penalties received.

Number of sworn complaints received.

Percent of filers filing timely reports.

**OBJECTIVE:** To reach 100 percent of all state employees with educational materials, to fulfill 100 percent of all requests for educational presentations, and to respond to general phone inquiries within the same day.

**Strategy IV: Education. To educate the public, state employees, and those subject to the laws administered and enforced by the Commission by responding to requests for information about the application of ethics laws, by making public presentations, by prescribing clear reporting forms and guidelines, by making educational materials broadly available, and by recommending campaign finance and ethics law changes to the Legislature.**

Outcome: Percent of requests for educational presentations fulfilled.

Percent of state employees reached by education program.

Outputs: Number of educational presentations made by staff.

Number of telephone inquiries answered.

Number of state employees reached by the Commission.

Explanatory: Number of persons attending educational presentations made by staff.

GOAL 2: We shall establish and carry out policies governing purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses.

OBJECTIVE To include historically underutilized businesses (HUBs) in at least 20 percent of the total value of contracts and subcontracts awarded annually by the agency in purchasing and contracting by fiscal year 2004.

**Strategy: Develop and implement a plan for increasing the use of historically underutilized businesses through purchasing contracts and subcontracts.**

Outcome: Percent of total dollar value of purchasing and contracts and subcontracts awarded to HUBs.

Outputs: Number of HUBs contractors and subcontractors contacted for bid proposals.

Number of HUB contracts and subcontracts awarded.

Dollar value of HUB contracts and subcontracts awarded.

## **Texas Ethics Commission Strategic Planning Process**

The Texas Ethics Commission is a small agency, and therefore it is not difficult to communicate the Commission's mission and goals throughout the organization. The size of the agency allows for a more informal planning process, which occurs throughout the biennium, not just during the period when the strategic plan is prepared. The Executive Director, management, and staff continuously evaluate and reevaluate the Commission's performance, direction, and progress toward its mission and goals. Additionally, the staff consistently updates the Commission's board members on progress, direction, and performance so that they may offer alternative comments or suggestions.

### **Planning between Executive Director and Division Directors**

The executive director and division directors meet at least monthly to discuss issues concerning the achievement of agency goals and whether or not the strategies being used are working.

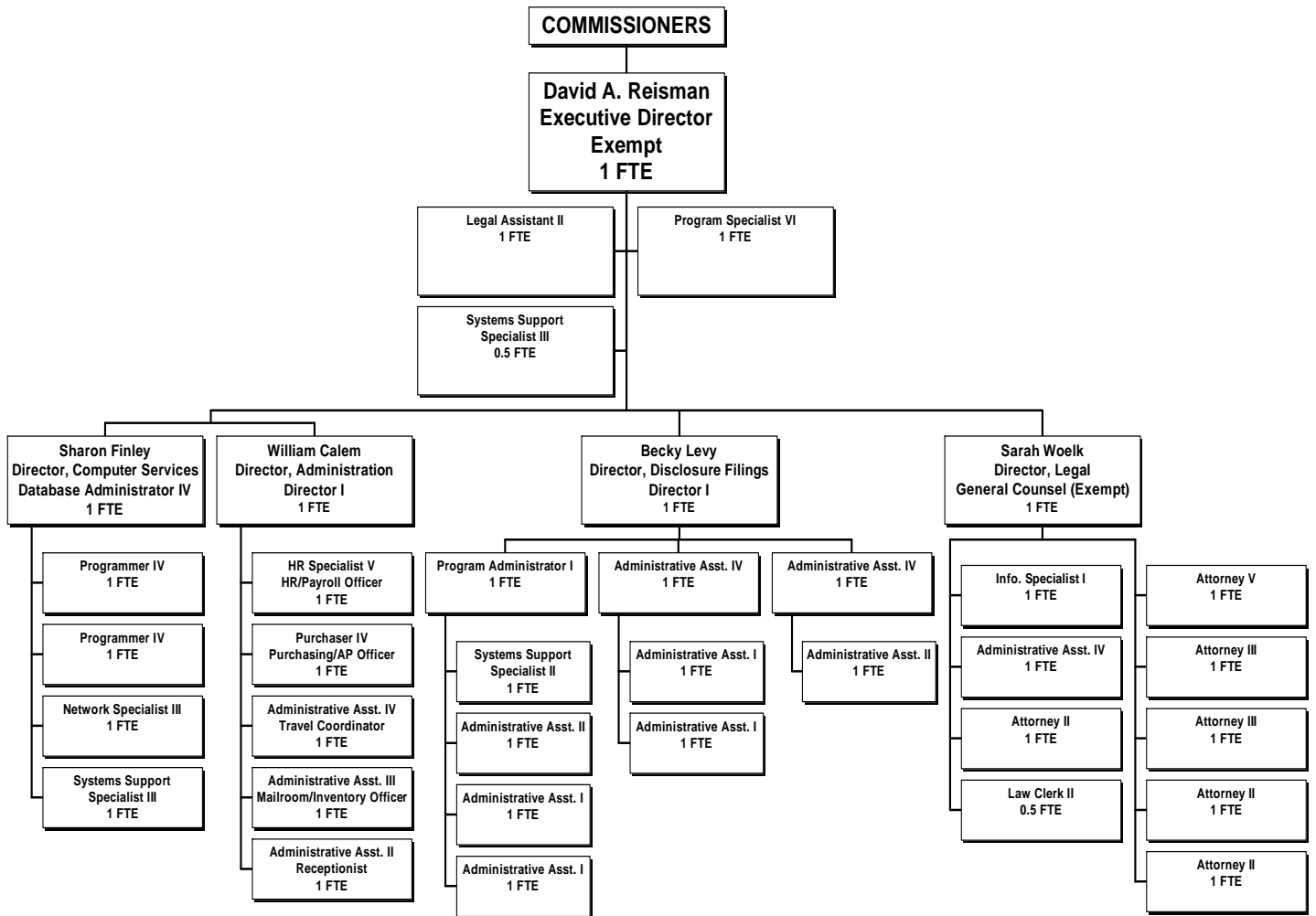
### **Weekly Inter-Division Planning Sessions**

On the division level, staff from the Disclosure Filings, Education and Advisory Opinions, Special Projects, and Enforcement divisions meet weekly with the Executive Director to discuss problems, plan strategies, assign work, and brainstorm. Minutes are recorded for these meetings and division directors are present. The division director for computer services often attends when computer issues are discussed or when computer projects are pending. The strategic planning coordinator is also present. These meetings evaluate the strategies used within the divisions to achieve the agency goals and mission. These meetings evaluate strategies at a detailed level, but not in as much detail as might be discussed within the division that implements them.

### **Intra-Division Planning**

The planning process in the Ethics Commission is not initiated at the top levels. Often ideas and concerns are initiated at the Division staff meetings and brought to the inter-division meetings for discussion and debate. Likewise, ideas and concerns may be initiated by the Executive Director and the Commissioners and discussed at the various meeting sessions in different levels of detail.

**Texas Ethics Commission  
As Of 10/11/04  
Total FTEs: 35**





## Projected Outcomes

Fiscal Years 2005-09

Outcome	2005	2006	2007	2008	2009
Percent of reports available for public inspection within two business days of receipt.	90%	95%	95%	95%	95%
Percent of advisory opinion requests answered by Commission within 60 days of receipt.	98%	98%	98%	98%	98%
Percent of sworn complaints processed within 5 business days after filing.	99%	99%	99%	99%	99%
Percent of complainants and respondents notified within 5 business days after Commission determination.	100%	100%	100%	100%	100%
Percent of requests for educational presentations fulfilled.	98%	98%	98%	98%	98%
Percent of state employees reached by education program.	100%	100%	100%	100%	100%

## Measure Definitions

### **Percent of reports available for public inspection in hard copy within two business days of receipt.**

Short Definition: *All reports on file with the Commission are available for public viewing. The types of reports consist of campaign finance reports, lobby registrations, lobby expenditure reports and personal financial statements. Reports are considered available for public inspection after they have been logged as received into the database.*

Purpose/Importance: *The ability for the public to access information on file with the Commission is central to Goal 1. This measure indicates how quickly the public has access to this information once it is actually received by the Commission.*

Source/Collection of Data: *The data is retrieved from the Commission's internal database.*

Method of Calculation: *This measure is calculated by a computer generated report which: 1) subtracts the date the report was received from the date the report was logged into the database; 2) determines the number of reports logged as received within 2 business days and the total number of reports logged as received; and 3) divides the number of reports logged as received within 2 business days by the total number of reports logged as received.*

Data Limitations: *There is no way to "re-create" the calculations for a point in time since the database is continually updated.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *An availability rate that is lower than the target is desirable.*

### **Number of reports logged within two business days of receipt.**

Short Definition: *A report is considered available for public inspection after it has been logged as received into the database.*

Purpose/Importance: *This measure indicates the raw number of reports logged within 2 business days of receipt, which is necessary to derive the percentage of reports logged within 2 business days of receipt.*

Source/Collection of Data: *The data is collected from the Commission's internal database.*

Method of Calculation: *This measure is calculated by a computer generated report which: 1) subtracts the date the report was logged as received from the date the report was logged into the computer; and 2) counts the number of reports logged within two days or less of receipt.*

Data Limitations: *There is no way to “re-create” the calculations for a point in time since the database is continually updated.*

Calculation Type: *Cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *This number should be as close to the total number of reports received as possible.*

**Number of reports received and processed.**

Short Definition: *Number of reports logged as received into the database.*

Purpose/Importance: *This measure shows the volume of information received by the Commission and puts the outcome measure for this strategy into perspective. This number is also necessary to calculate the percentage of reports available to the public within two business days of receipt.*

Source/Collection of Data: *This data is collected from the Commission’s internal database.*

Method of Calculation: *This is a computer generated count of the number of reports logged as received into the database.*

Data Limitations: *There is no way to “re-create” the calculations for a point in time since the database is continually updated.*

Calculation Type: *Cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission has no control over this number.*

**Number of reports filed electronically.**

Short Definition: *This is a count of the number of reports filed with the Commission either directly over the Internet or by the submission of a diskette.*

Purpose/Importance: *Electronic filing is a statutory requirement for certain filers. Additionally, electronic filing is much more efficient and cost effective for the state. It allows the Commission to achieve its goals at a higher level.*

Source/Collection of Data: *This data is collected from the Commission’s internal database.*

Method of Calculation: *This is a computer generated count of the number of reports marked in the database as electronically filed.*

Data Limitations: *There is no way to “re-create” the calculations for a point in time since the database is continually updated.*

Calculation Type: *Cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission has no control over this number, however it is our intent to encourage electronic filing by making it as easy and convenient as possible.*

**Percent of reports due filed electronically.**

Short Definition: *This measure indicates what percentage of all reports that can be filed electronically, that are filed with the Commission either over the Internet or on a diskette. An electronically filed report is marked in the database as such.*

Purpose/Importance: *This indicates how many of those required to file with us are taking advantage of the Commission’s electronic filing capabilities, either for voluntary or statutory reasons.*

Source/Collection of Data: *This data is collected from the Commission’s internal database.*

Method of Calculation: *This measure is calculated by a computer generated report which: 1) counts the total number of reports filed and the number of reports filed electronically ; and 2) divides the number of reports filed electronically by the total number of reports filed.*

Data Limitations: *There is no way to “re-create” the calculations for a point in time since the database is continually updated.*

Calculation Type: *Non-cumulative*

New Measure: *Lobby reports will be required to be filed electronically beginning in calendar year 2005.*

Desired Performance: *It is the Commission’s intent to encourage electronic filing whenever possible, so a high percentage is desired.*

**Number of inquiries for information.**

Short Definition: *This is a count of the: 1) number of requests for information (other than open record requests) received via phone, mail or in person; 2) number of people who log onto the Texas Ethics Commission System for Imaging Services (TECSIS); and the number of people who log onto the Commission’s website.*

Purpose/Importance: *Public access to the information stored by the Commission is central to Goal 1, and this measure indicates the volume of requests received by the Commission.*

Source/Collection of Data: *This data is retrieved from an internal database.*

Method of Calculation: *This measure is a computer generated count calculated by adding: 1) the number of people who log onto TECSIS; 2) the number of people who log onto the Commission's website; and 3) the number of requests received via phone, mail or in person. The count is generated for a particular date range.*

Data Limitations: *At this time it is not possible to determine if a person accessing the Commission's website is actually doing so to gather information or doing so for some other purpose.*

Calculation Type: *Cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission has no control over the number of requests received.*

**Number of lobbyists registered with the Commission.**

Short Definition: *Lobbyists are required to file an annual registration with the Commission and this is a count of the number registered. The registrations and fees are logged into the Commission's internal database.*

Purpose/Importance: *The number of lobbyists registered will indicate the number of lobby reports that will be filed for the year.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This is a computer generated count of the number of lobbyists who file registrations with the Commission.*

Data Limitations: *Lobbyists file on a calendar basis, so the data and calculations can be archived and re-created.*

Calculation Type: *Cumulative*

New Measure: *Clarifying language.*

Desired Performance: *The Commission has no control over this measure.*

**Number of public officials required to file reports with the Commission.**

Short Definition: *This measure is a count of the number of public officials that are required to file a campaign finance report, personal financial statement, or both, with the Commission. These filers are entered into the Commission's internal database.*

Purpose/Importance: *The number of public officials required to file will indicate the number of reports that can be expected to be filed.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This is a computer generated count of the number of public officials required to file reports with the Commission.*

Data Limitations: *There is no way to "re-create" the calculations for a point in time since the database is continually updated.*

Calculation Type: *Cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission has no control over this measure.*

**Percent of advisory opinion requests answered by the Commission within 60 days of receipt.**

Short Definition: *An opinion request is considered received when the executive director identifies it as an advisory opinion request, assigns it an advisory opinion request number, and sends an acknowledgment letter to the requestor. Therefore the received date is the date a formal opinion request number is assigned. The acknowledgment letter to the requestor evidences receipt of the request. An opinion request is considered answered the date the advisory opinion request file is closed. The closing date is the meeting date the opinion is adopted or, if not adopted, the date the file is closed by the director of opinions. A file may be closed by the director of opinions for the following reasons: 1) the opinion is withdrawn by the requestor; 2) a previously issued opinion resolves the request; 3) the request will be resolved by a rule adopted by the commission; 4) a staff letter is sufficient in answering the request.*

Purpose/Importance: *Statutorily, advisory opinion requests must be answered within 60 days.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is calculated by dividing the total number of opinion requests answered into the number of opinion requests answered within 60 days.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Non-cumulative*

New Measure: *Clarifying language.*

Desired Performance: *The Commission's goal is to have 100 percent of all opinion requests answered within 60 days.*

**Number of advisory opinions adopted by the Commission.**

Short Definition: *An opinion is considered adopted the date of the meeting the commission votes to adopt the opinion.*

Purpose/Importance: *The Commission is required by law to issue advisory opinions on request. The advisory opinions clarify the law and provide a defense to prosecution or the imposition of civil penalties for reasonable reliance.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is a manual count of the number of opinions adopted by the commission.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission has no control over this measure as we have no control over the number of requests that will be received.*

**Average time (business days) to answer advisory opinion requests.**

Short Definition: *An opinion request is considered received when the executive director identifies an advisory opinion request, assigns it an advisory opinion request number, and sends an acknowledgment letter to the requestor. Therefore the received date is the date a formal opinion request number is assigned. It is evidenced by the acknowledgment letter to the requestor. An advisory opinion request is considered answered the date the advisory opinion request file is closed. The closing date is the meeting date the opinion is adopted or if not adopted, the date the file is closed by the director of opinions. A file may be closed by the director of opinions for the following reasons: 1) the opinion is withdrawn by the requestor; 2) a previously issued opinion resolves the request; 3) the request will be resolved by a rule adopted by the commission; 4) a staff letter is sufficient in answering the request.*

Purpose/Importance: *This is an indication of the efficiency of the Commission.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is calculated by a manual count of the total number of days to respond to a legal advisory opinion. Collected and maintained by the agency. Response time is calculated by counting the number of days between the received date and issued date. The average is then determined by dividing the total number of days to respond by the total number of requests answered.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Non-cumulative*

New Measure: *Clarifying language.*

Desired Performance: *It is the Commission's intent to respond as quickly as possible.*

**Number of advisory opinion requests received.**

Short Definition: *An opinion request is considered received when the executive director identifies an advisory opinion request, assigns it an advisory opinion request number and sends an acknowledgment letter to the requestor. Therefore the received date is the date a formal opinion request number is assigned. It is evidenced by the acknowledgment letter to the requestor.*

Purpose/Importance: *This is one indication of the workload on the Commission's advisory opinion staff*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is a manual count of the number of opinion requests received.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission has no control over the number of opinion requests received.*

**Percent of sworn complaints processed within 5 business days after filing.**

Short Definition: *A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made the Commission is required by law to notify in writing the complainant and respondent involved about compliance or non-compliance of the format. This*



*notification must be sent within 5 business days of the date the complaint was filed. The date the notice is sent and the date a sworn complaint is received are recorded in a database.*

*Purpose/Importance: This measure is directly related to the Commission's Goal 1 objective to respond to sworn complaints in a timely manner.*

*Source/Collection of Data: The data is retrieved from an internal database.*

*Method of Calculation: This measure is calculated by a computer generated report which subtracts the date the complaint is received from the date the notice of compliance or non-compliance is sent. The computer then counts how many complaints were processed within 5 business days and how many complaints total were processed. Finally, the number of complaints processed within 5 business days is divided by the total number of complaints processed.*

*Data Limitations: This data is very reliable.*

*Calculation Type: Non-cumulative*

*New Measure: This reflects a change in the law made by HB 1606.*

*Desired Performance: The goal is to have 100 percent of all complaints processed within 5 business days after filing.*

**Percent of complainants and respondents notified within 5 business days after Commission determination.**

*Short Definition: Once the Commission has made a determination on a proposed resolution for a sworn complaint, the Commission must notify the complainant and respondent in writing of the decision within 5 business days of the date of the determination. The date of determination is the date the Commission meets for review of the complaint. This date is recorded in a database. The date the notification of determination is sent to the complainant and respondent is also recorded in the database.*

*Purpose/Importance: This measure is directly related to the Commission's Goal 1 objective to respond to sworn complaints in a timely manner.*

*Source/Collection of Data: The data is retrieved from an internal database.*

*Method of Calculation: The computer subtracts the date of determination (resolution) from the date the notice of determination is sent. Next, the computer counts the number of notices sent within five days of the date of resolution and the total number of notices sent. Finally, the computer calculates the percent of complainants and respondents notified within 5 business days of Commission determination by dividing the number of notices sent within 5 business days by the total number of notices sent.*

*Data Limitations: This data is very reliable.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The goal is to have 100 percent of all complaints notified within 5 business days after Commission determination.*

**Number of sworn complaints recommended for resolution.**

Short Definition: *A sworn complaint is recommended for resolution when it has been sent to the commission for review and placement on the agenda. The date a sworn complaint is sent to the Commission for review and placement on the agenda is recorded in a database.*

Purpose/Importance: *This measure is directly related to the Commission's Goal 1 objective to respond to sworn complaints in a timely manner.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is a computer generated count of the number of sworn complaints recommended for resolution.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission has little control over this number.*

**Number of sworn complaints processed.**

Short Definition: *A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made the Commission is required by law to notify in writing the complainant and respondent involved about compliance or non-compliance of the format. This notification must be sent within 5 business days of the date the complaint was filed. The date the notice is sent and the date a sworn complaint is received are recorded in a database.*

Purpose/Importance: *This measures the total workload performed by the enforcement division and puts some of the outcome percentages into perspective.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *The number of sworn complaints processed is calculated by a computer generated report which counts the number of notices sent.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Cumulative*

New Measure: *This reflects a change in the law made by HB 1606.*

Desired Performance: *The Commission does not strive to reach any numerical goal in relation to this measure since we have no control over the number of sworn complaints received. Our desired performance is to process every sworn complaint that we receive.*

**Number of sworn complaints processed within 5 business days after filing.**

Short Definition: *A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made the Commission is required by law to notify in writing the complainant and respondent involved about compliance or non-compliance of the format. This notification must be sent within 5 business days of the date the complaint was filed. The date the notice is sent and the date a sworn complaint is received are recorded in a database.*

Purpose/Importance: *This measure is directly related to the Commission's Goal 1 objective to respond to sworn complaints in a timely manner.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *The number of sworn complaints processed within 5 business days is calculated by a computer generated report which subtracts the date the complaint is received from the date the notice of compliance or non-compliance is sent. The computer then counts how many complaints were processed within 5 business days.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Cumulative*

New Measure: *This reflects a change in the law made by HB 1606.*

Desired Performance: *It is the Commission's goal to be 100 percent on this measure.*

**Number of late notices sent to filers.**

Short Definition: *Two possible notices can be sent in regard to a late report: 1) a preliminary late notice, and 2) a letter of referral to the Attorney General for collection of the late penalty.*

Purpose/Importance: *This measure indicates the number of filers who are in possible non-compliance with the laws administered and enforced by the Commission.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is a computer generated count of the number of late notices sent to filers who have not resolved the late filing at the time the late notice is mailed out.*

Data Limitations: *This data does not account for filers who receive late notices and then subsequent waivers for the penalty.*

Calculation Type: *Cumulative*

New Measure: *Because of budgetary constraints, only two late notices are sent.*

Desired Performance: *The Commission has no control over the number of late notices sent.*

**Number of late penalty payments received.**

Short Definition: *This measure is a count of the number of penalty payments received.*

Purpose/Importance: *This indicates the number of penalties enforced by the Commission.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is a computer generated count of the number of penalties received in response to late filings of reports.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Cumulative*

New Measure: *The amount assessed for civil penalties has changed and could change again.*

Desired Performance: *The Commission has no control over the number of late penalty payments received.*

**Average time (business days) to respond to sworn complaints.**

Short Definition: *A sworn complaint is considered processed the date the notice of compliance or non-compliance is sent. For purposes of this measure “processed” is the same as “responded to.” The Commission must determine whether a sworn complaint is in an acceptable format according to the guidelines set by law. Once the determination of compliance or non-compliance has been made the Commission is required by law to notify in writing the complainant and respondent involved about compliance or non-compliance of the format.*

Purpose/Importance: *This measure is directly related to the Commission's Goal 1 objective to respond to sworn complaints in a timely manner.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *The date the notice is sent and the date a sworn complaint is received are recorded in a database. This measure is calculated by a computer generated report which: 1) subtracts the date the complaint was received from the date the complaint was processed (responded to); 2) adds the total number of business days to process (respond to) sworn complaints; and 3) divides the total number of business days to process (respond to) sworn complaints by the number of sworn complaints processed (responded to).*

Data Limitations: *This data is very reliable.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission's goal is to respond as quickly as possible.*

**Average time to notify complainants and respondents of Commission determination.**

Short Definition: *Once the Commission has made a determination on a proposed resolution for a sworn complaint, the Commission must notify the complainant and respondent in writing of the decision. The date of determination is the date the Commission meets for review of the complaint. This date is recorded in a database. The date the notification of determination is sent to the complainant and respondent is also recorded in the database.*

Purpose/Importance: *This measure is directly related to the Commission's Goal 1 objective to respond to sworn complaints in a timely manner.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is calculated by a computer generated report which: 1) subtracts the date of determination (resolution) from the date the notice of determination is sent; 2) adds the number of business days to notify complainants and respondents of determination; 3) divides the total number of business days to notify complainants and respondents of determination by the total number of determinations made.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission's goal is to respond to all parties as quickly as possible.*

**Average time to notify filer of late report.**

Short Definition: *This is a measure of the number of business days between the date a report was due and the date the preliminary late notice is sent.*

Purpose/Importance: *This is an indication of the efficiency of the Disclosure Filing Division.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is a computer generated report that counts the number of business days between the date a report was due and the date the preliminary late notice is sent. The total number of business days to send a preliminary late notice is then divided by the number of late notices sent.*

Data Limitations: *This data does not account for reports that may be missed or for filers who may have received waivers.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change to this measure from the previous biennium.*

Desired Performance: *The Commission has set timeframe guidelines for sending out late letters and it is the intent to stay within those guidelines.*

**Percent of sworn complaints resolved within 180 business days of receipt.**

Short Definition: *A sworn complaint is considered received the date it is filed. It is considered filed on the date it is assigned a sworn complaint number. To be assigned a sworn complaint number, a sworn complaint filed with the commission must be filed on a sworn complaint form prescribed by the commission, and the signature of the complainant must be notarized (sworn). A sworn complaint is resolved on the date the commission dismisses the complaint, or accepts an offer of settlement from a respondent that finally resolves the complaint, or makes a final decision that a violation occurred. This data will be collected and maintained by agency staff.*

Purpose/Importance: *This measure can only really be used for reference since the Commission has no control over the time frame for the resolution of sworn complaints.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *The percentage of sworn complaints resolved within 180 days of receipt is calculated by dividing the number of sworn complaints resolved within 180 days after they were filed (received) by the total number of sworn complaints that were resolved.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission does not have a statutory requirement to resolve sworn complaints within 180 days. Furthermore the Commission has little control over many parts of the sworn complaint process. Much of the time spent to resolve a sworn complaint involves waiting for responses from complainants and respondents.*

**Number of sworn complaints received.**

Short Definition: *A sworn complaint is considered received the date it is filed. It is considered filed on the date it is assigned a sworn complaint number. To be assigned a sworn complaint number, a sworn complaint must be filed on the sworn complaint form prescribed by the commission. The measure will be collected and maintained by agency staff.*

Purpose/Importance: *This is an indication of the workload handled by the Enforcement division.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *This measure is a computer generated count of the number of sworn complaints received.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Cumulative*

New Measure: *Our practice is to assign a sworn complaint number even if the original complaint is not notarized.*

Desired Performance: *The Commission has no control over the number of sworn complaints received.*

**Percent of filers filing timely reports.**

Short Definition: *A report is considered timely filed if it is either hand-delivered, or deposited with the U.S. Post Office, or placed in the hands of a common or contract carrier properly addressed with postage and handling charges pre-paid no later than 5:00 p.m. on the deadline date.*

Purpose/Importance: *This is an indication of how effectively the Commission communicates filing information.*

Source/Collection of Data: *The data is retrieved from an internal database.*

Method of Calculation: *To calculate this measure a computer generated count of the number of reports filed timely is divided by the number of reports due for a given deadline. The number of reports due is also a computerized count.*

Data Limitations: *This data is very reliable.*

Calculation Type: *Non-cumulative*

New Measure: *The requirement to swear to reports has been superceded by Section 571.077, Government Code.*

Desired Performance: *The Commission has no control over the number of reports that are filed timely.*

**Percent of requests for educational presentations fulfilled.**

Short Definition: *Training is provided to the public and regulated community on the laws administered and enforced by the Commission upon request.*

Purpose/Importance: *This is a direct correlation to our objective to provide education to the public, regulated community and state employees.*

Source/Collection of Data: *This information is entered into a spreadsheet.*

Method of Calculation: *This measure is calculated by dividing the total number of presentations made by staff by the total number of requests for educational presentations.*

Data Limitations: *Human error is a possibility.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission has no control over the number of requests for educational presentations.*

**Percent of state employees reached by education program.**

Short Definition: *Education of state employees occurs once per year when the commission sends an educational brochure to each state employee along with some other sort of statewide mailing (such as W2 forms) or electronically via e-mail to agency heads. The commission will try to reach all state employees through their agency of employment.*

Purpose/Importance: *This is a direct correlation to our objective to provide education to the public, regulated community and state employees.*



Source/Collection of Data: *The Commission obtains the number of current state employees for each state agency from the Comptroller's office.*

Method of Calculation: *This measure is calculated by dividing the total number of state employees sent an educational brochure by the total number of state employees.*

Data Limitations: *This calculation assumes that the data provided us is current and accurate. It also assumes that the information is disseminated down to all employee levels.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission strives to reach all state employees with this information.*

**Number of educational presentations made by staff.**

Short Definition: *Requests for educational presentations received by mail or telephone are recorded into a spreadsheet. Additionally, the date of the presentation, the topic, the speaker, and the number of attendees are recorded.*

Purpose/Importance: *This is a direct correlation to our objective to provide education to the public, regulated community and state employees.*

Source/Collection of Data: *Educational requests are entered into a spreadsheet.*

Method of Calculation: *Manual count of the number of educational presentations made by staff.*

Data Limitations: *The possibility of human error is present.*

Calculation Type: *Cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission has no control over the number of requests for presentations that will be received.*

**Number of telephone inquiries answered.**

Short Definition: *The Commission receives a large number of calls each day from people who have questions about the areas over which we have jurisdiction.*

Purpose/Importance: *This is a direct correlation to our objective to provide education to the public, regulated community and state employees. It is also an indication of the workload faced by the legal staff.*

Source/Collection of Data: *The data is generated by a computerized phone system.*

Method of Calculation: *A computer generated count of the number of incoming calls.*

Data Limitations: *The data assumes that missed calls are accounted for and that, if the appropriate person is not available, a message is taken and the call is returned.*

Calculation Type: *Cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission has no control over the number of calls received each day but it is our intent to address all calls received.*

**Number of state employees reached by the Commission.**

Short Definition: *A count of the number of state employees sent educational brochures. This count will be calculated once annually.*

Purpose/Importance: *This is a direct correlation to our objective to provide education to the public, regulated community and state employees.*

Source/Collection of Data: *The number of state employees is obtained from the Comptroller's office.*

Method of Calculation: *The number of state employees is obtained from the Comptroller's office.*

Data Limitations: *This calculation assumes that the data provided us is current and accurate. It also assumes that the information is disseminated down to all employee levels.*

Calculation Type: *Non-cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission strives to reach all state employees with this information.*

**Number of persons attending educational presentations made by staff.**

Short Definition: *This number includes public and non-public attendees. The date of the educational presentation, the presenter, the purpose, and the number of persons who attended are recorded on a form and maintained by agency staff.*

Purpose/Importance: *This is a direct correlation to our objective to provide education to the public, regulated community and state employees.*

Source/Collection of Data: *The number of persons attending presentations is transferred to and maintained in a spreadsheet.*

Method of Calculation: *A manual count of the number of persons attending educational presentations.*

Data Limitations: *The possibility for human error exists.*

Calculation Type: *Cumulative*

New Measure: *There is no change from the previous biennium.*

Desired Performance: *The Commission has no control over the attendance of educational presentations.*

## Texas Ethics Commission Fiscal Year 2006-07 Workforce Plan

### I. Agency Overview

The Texas Ethics Commission was created effective January 1, 1992, by a voter-approved constitutional amendment. This amendment added Article III, Section 24a, to the Texas Constitution establishing an eight-member commission with four members appointed by the Governor, and two each by the Lieutenant Governor and the Speaker of the Texas House of Representatives. Appointees are selected from lists submitted by the Texas Senate and the Texas House of Representatives.

#### **A. Business Functions**

The Texas Ethics Commission has 35 budgeted FTEs headed by an Executive Director who oversees six major divisions to accomplish the business functions and duties of the agency. (See Appendix B, Organizational Chart.) The Commission has both constitutional and statutory duties. Constitutionally, the Commission recommends the salary of members of the Legislature and the Lieutenant Governor, subject to approval by the voters; and sets the per diem for members of the Legislature and the Lieutenant Governor. Statutorily, the Commission is responsible for administering and enforcing the laws concerning campaign finance and political advertising; lobby activity; personal financial disclosure by state officers; the standards of conduct and conflicts of interest of state officers and employees; and several other laws regulating the reporting requirements of other state and local officials and entities.

**Disclosure Filings.** The Commission serves as a repository of required disclosure reports for state officials, candidates, political committees, lobbyists, and certain district and county judicial officers. Campaign finance reports filed with the Commission are now required by law to be filed electronically unless the filer is entitled to an exemption. The July 2000 campaign finance report was the first report required to be filed electronically. Beginning in December 2004, lobbyists will be required to file lobby reports electronically unless the filer is entitled to an exemption. All of the other reports filed with the Commission are filed on paper. The Disclosure Filings Division (consisting of 9.5 FTEs) handles the processing and maintenance of all reports received by the Commission. In addition, this division provides information about and copies of disclosure reports filed with the agency, distributes blank disclosure reporting forms upon request, and collects charges for copies as authorized by law.

**Advisory Opinions and Education.** The Commission has the authority to issue advisory opinions about the laws under its jurisdiction, as well as Chapter 36, Penal Code, which includes the laws relating to bribery and benefits to public servants, and Chapter 39, Penal Code, which includes the laws relating to the misuse of governmental resources. The Commission also provides ethics training to state officers and employees on request, and

produces educational materials and conducts training programs for other groups affected by laws administered by the Commission. The Advisory Opinions/Education Division (consisting of 3 FTEs) handles this business function of the agency.

**Enforcement.** The Commission has the authority to enforce all laws under its jurisdiction except Chapters 36 and 39, Penal Code. Thus, the Commission's enforcement jurisdiction extends to all individuals and entities filing reports with the Commission, as well as to those who file campaign finance reports with local filing authorities such as the county or city clerk. The Commission is authorized to undertake civil enforcement actions on its own motion or in response to a sworn complaint, hold enforcement hearings, issue orders, impose civil penalties, refer matters for criminal prosecution, and deny, suspend, or revoke a lobby registration for specified reasons. A sworn complaint sets in motion a process which may include a preliminary review, a preliminary review hearing, and a formal hearing, and which permits resolution of the complaint at several points in the process. During most stages of the process, the Commissioners and Commission staff are required to keep the complaint confidential.

The Commission also imposes administrative penalties on filers who are late in filing reports with the Commission. This process is an administrative function and does not require a sworn complaint to be filed. The administrative process involves notifying filers that a report is late and that a penalty may be administratively assessed. Both the Executive Director and members of the Commission have the authority to waive or reduce administrative penalties for reasons specified by rule. A filer who does not pay an administrative penalty is referred to the Office of the Attorney General for collection of the penalty. The Enforcement Division (consisting of 6 FTEs) handles all regulatory functions in addition to providing legal counsel to the agency on daily operational matters. The legal staff is also available to assist callers and visitors to the agency who have questions about any of the laws under the Commission's jurisdiction.

**Administration and Information Technology.** The Administration Division (consisting of 8.5 FTEs, including the Executive Director) provides the primary support for the Commission with respect to accounting and budgeting, purchasing, human resources and payroll, secretarial duties, building and equipment maintenance, risk and safety management, and mail services. The Computer Services Division (consisting of 5 FTEs) handles all information technology functions and maintains the Commission's computer network, the electronic filing system and database, and the agency website. This division also provides technical support to filers who are required to file reports electronically with the Commission.

**Special Projects Division.** The Special Projects Division (consisting of 3 FTEs) oversees all special projects, such as the lobby electronic filing project. The division also provides technical support to persons filing electronic reports, and prepares special reports required by law.

## B. Agency Mission

The mission of the Texas Ethics Commission is to promote individual participation and confidence in electoral and governmental processes by enforcing and administering applicable laws and by providing information for the people of Texas to enable them to oversee the conduct of public officials and those attempting to influence public officials.

## C. Agency Strategic Goals and Objectives

**GOAL 1:** To increase the public's ability to access information about public officials, candidates for public office, and persons attempting to influence public officials, and to assist people in understanding their responsibilities under the laws administered by the Commission, thereby enhancing the potential for individual participation in government.

**Objective:** To make reports required to be filed with the Commission available to the public within two business days of receipt; to provide responses to advisory opinion requests within 60 days; and to respond to sworn complaints within 14 business days after filing.

**Strategy I:** Information Filing. Serve as the repository for information required to be filed with the Commission and assist persons in accessing that information.

**Strategy II:** Advisory Opinions. Aid the public and those subject to the laws administered and enforced by the Commission in complying with and understanding those laws by responding quickly, accurately, and impartially to advisory opinion requests.

**Strategy III:** Enforcement. Enforce compliance with laws administered by the Commission by responding quickly and impartially to sworn complaints, by performing investigations where advisable, and by assessing penalties for late reports.

**Objective:** To reach 100% of all state employees with educational materials, to fulfill 100% of all requests for educational presentations, and to respond to general phone inquiries within the same day.

**Strategy:** Education. To educate the public, state employees, and those subject to the laws administered and enforced by the Commission by responding to requests for information about the application of ethics laws, by making public presentations, by prescribing clear reporting forms and guidelines, by making educational materials broadly available, and by recommending campaign finance and ethics law changes to the Legislature.

**GOAL 2:** We shall establish and carry out policies governing purchasing and contracting that foster meaningful and substantive inclusion of historically underutilized businesses.

**Objective:** To include historically underutilized businesses (HUBs) in at least 20 percent of the total value of contracts and subcontracts awarded annually by the agency in purchasing and contracting by fiscal year 2006.

**Strategy:** Develop and implement a plan for increasing the use of historically underutilized businesses through purchasing contracts and subcontracts.

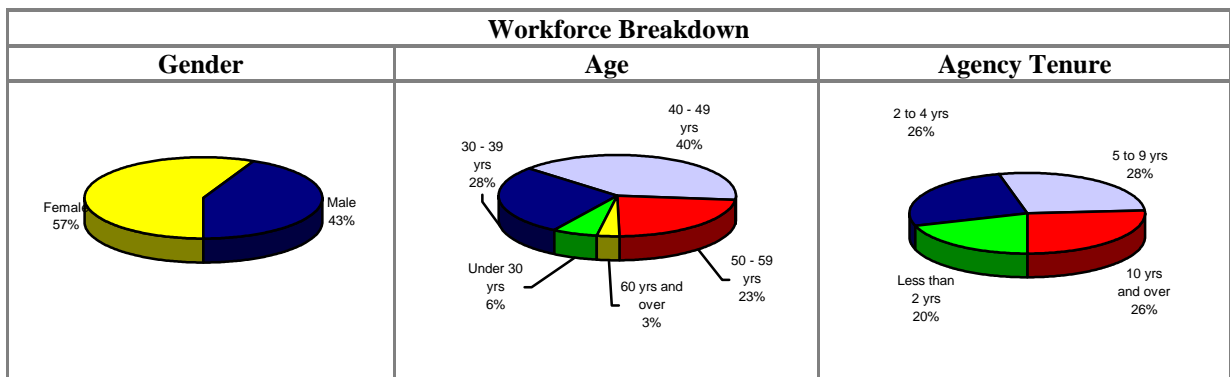
**D. Anticipated Changes to Mission, Goals, and Strategies Over the Next Five Years**

The Texas Ethics Commission does not anticipate any significant changes to its mission, goals, and strategies over the next five years.

**II. Current Workforce Analysis (Supply Analysis)**

**A. Demographic Information**

The following chart profiles the Texas Ethics Commission’s total workforce as of May 2004, and includes both full-time and part-time employees. The Commission’s workforce is comprised of 57 percent females and 43 percent males. Over 60 percent of our employees are over the age of 40. More than 40 percent of employees have less than five years of agency service. Since the agency was only created in 1992, it is reasonable that we have less tenured staff. This percentage is still high enough to warrant strong training programs to ensure our employees get up to speed as quickly as possible.



The following table compares the percentage of African American, Hispanic, and Female Commission employees (as of May 2004) to the statewide civilian workforce as reported by the Texas Commission on Human Rights. The skilled craft and service and maintenance categories do not apply since the agency does not have any positions in those categories. The Commission has been working to meet various diversity targets, among which are Hispanic and Female professional positions. In these two situations, the agency has exceeded the statewide workforce statistics.

There are several categories of under-represented classes that the Commission should address, particularly African American administrative, professional and para-professional positions, and Hispanic technical positions. Through its recruitment plan, the Commission will continue to strive to maximize the number of qualified minority, disabled, and female applicants for available positions within all job categories.

Workforce Breakdown by Under-Represented Class						
Job Category	African American		Hispanic American		Females	
	TEC %	State %	TEC %	State %	TEC %	State %
Officials, Administration	0%	7%	17%	12%	83%	32%
Professional	0%	9%	31%	11%	62%	47%
Technical	13%	14%	0%	19%	13%	39%
Para-professional	0%	18%	67%	31%	100%	56%
Administrative Support	20%	20%	20%	26%	60%	80%
Skilled Craft	N/A		N/A		N/A	
Service and Maintenance	N/A		N/A		N/A	

**B. Agency Turnover**

Turnover is an important issue in any organization, and the Texas Ethics Commission is no exception. Over the past four fiscal years, the highest turnover (53 percent) occurred within the Administrative Assistant occupation class which is understandable since that class makes up one-third of the agency. Employees that transferred to other state agencies accounted for 13 percent of the total number of separations during that period. As a small agency, the Commission has less room for advancement and promotion, which accounts for the 33 percent of separating employees who gave inadequate salary and lack of opportunity for advancement as reasons for leaving. The following charts show the Commission’s turnover rate compared to the State percentages, as well as a breakdown of the turnover data according to the length of agency service and age of the separating employees.

**Turnover Rates:** Even though the Commission’s turnover rate continues to be consistently lower than the State average, the rate has increased from a low 9.7 percent in fiscal year 2002 to 13.8 percent in fiscal year 2003.

Year	TEC %	State %
Fiscal Year 2000	10.7%	18.90%
Fiscal Year 2001	16.7%	17.60%
Fiscal Year 2002	9.7%	14.8%
Fiscal Year 2003	13.8%	17.4%

**Length of Service:** The greatest area of turnover for the Commission has been with employees who have less than five years experience. Of those employees, 33 percent stayed only one year.

Agency Service Before Separation	Number of Terminations				Overall %.
	FY2000	FY2001	FY2002	FY2003	
Less than 2 years	1	1	0	1	20%
2-4 years	1	2	1	2	40%
5-9 years	1	2	2	1	40%
10-14 years	0	0	0	0	0%



**Age:** Over the last four years, 27 percent of the employees that left the Commission were under the age of thirty. Those positions have tended to be filled with older employees. Currently, employees within that age category comprise only 6 percent of the agency workforce.

Age of Employee Upon Separation	Number of Terminations				Overall %.
	FY2000	FY2001	FY2002	FY2003	
Under 30 years	1	2	0	1	42%
30-39 years	1	3	2	1	42%
40-49 years	1	0	1	0	16%
Over 50 years	0	0	0	2	0%

**C. Retirement Eligibility and Employee Attrition Rate Over the Next Five Years**

The Texas Ethics Commission is a young agency, both in years of existence and in the age of its employees. The agency has only had two separations due to retirement. Based on estimates from the Employees Retirement System, the Commission projects a loss of an additional five employees through retirement within the next five years. Though the number is a small percentage (14 percent) of the total workforce, these employees occupy key positions within the agency. For this reason, it is important for the Commission to ensure that this organizational knowledge and expertise is not lost. Based on past turnover trends, the projected attrition rate will be a loss of three employees per fiscal year. If the Commission hires no other employees, 17 employees may leave the agency by fiscal year 2007. Five (29 percent) of those will be retirees and twelve (71 percent) will be leaving for other reasons.

**D. Workforce Skills Critical to Agency Mission and Goals**

The Texas Ethics Commission is fortunate to have a staff that ranges broadly in training and experience. It is necessary in a small agency to have a staff that is diverse in skills because often employees are asked to perform more than one job function. There are several critical skills that are important to the Commission’s ability to operate. Without the skills listed below, the Commission could not provide basic business functions to accomplish its strategic mission and goals:

- Customer service
- Collaborating and communicating with others
- Interpreting legal statutes
- Conducting investigations
- Reviewing, analyzing, and processing data files
- Interpreting computer programs
- Developing and maintaining a database
- Providing ethics training
- Designing and distributing informational materials
- Administering and maintaining a network infrastructure

### **III. Future Workforce Profile (Demand Analysis)**

#### **A. Critical Functions Required to Achieve the Strategic Plan**

- Receive and maintain information required to be filed with the Commission, both electronically and in hard copy, and assist persons in accessing that information.
- Respond quickly, accurately, and impartially to advisory opinion requests.
- Enforce compliance with laws administered by the Commission by responding quickly and impartially to sworn complaints, performing investigations, and assessing penalties for late reports.
- Educate the public, state employees, and those subject to the laws administered and enforced by the Commission.
- Implement a plan for increasing the use of historically underutilized businesses through purchasing contracts and subcontracts.

#### **B. Expected Workforce Changes**

The Texas Ethics Commission does not anticipate any changes that will significantly affect the core functions of the Commission. There are other possible developments, however, that the Commission must be aware of as it prepares its workforce for the future.

**Legislative Changes:** The passage during the 76th Legislature of HB 2611, which requires certain filers to submit their campaign finance reports electronically, continues to have a major impact on the Commission. Passage of H.B. 1606 in the 78th Legislature changed and broadened the scope of electronic filing.

Currently, approximately 3,262 individuals or political committees file campaign finance reports with the Commission, most of which are required by law to be filed electronically. The approximately 1,575 lobbyists who file lobby activities reports will be required to file electronically beginning December 2004. The approximately 2,675 state officers who file personal financial statements continue to file on paper at this time. If future legislation is passed requiring more filers to file reports using an electronic format, the Commission could be required to develop new software and make enhancements to existing systems. This would most likely require a reorganization of the computer services staff to handle the increased programming workload. Additional technical training would also be needed to ensure that the staff has the knowledge and skills necessary to perform additional duties.

#### **C. Future Workforce Skills Needed**

Over the next five years, the Texas Ethics Commission will be able to fulfill its mission and strategies and continue to function effectively and efficiently by maintaining the critical workforce skills listed earlier. If some of the legislative and technological changes occur, the Commission could require an increase in computer skills such as web design and programming.

**D. Anticipated Increase/Decrease in the Number of Employees Needed**

The Texas Ethics Commission does not anticipate an increase or decrease in FTE count at this time. In 2000, when filers were first required to file campaign finance reports electronically, the Commission was granted an increase of 2 FTEs to fulfill its obligations to develop an electronic filing system, provide filing software, and allow for some of the reported information to be accessible to the public via a searchable, relational database with remote access. If future legislation broadens the scope of electronic filing, the increased workload would most likely require an increase in FTEs similar to the changes in 2000.

**IV. Gap Analysis**

**A. Anticipated Surplus/Shortage of Employees**

After analyzing the workforce information, the Texas Ethics Commission has determined that the agency has a sufficient number of employees to accomplish the agency’s current mission, goals, and strategies. However, if legislation is enacted that further expands the electronic filing requirements, the Commission may require an increase in FTEs to perform additional duties.

**B. Anticipated Surplus/Shortage of Skills**

The Texas Ethics Commission analyzed its workforce proficiency based on the critical workforce skills listed earlier. Each occupational group was rated on its current proficiency level and its desired proficiency level, using a scale from 0 (No Knowledge) to 3 (Professional Knowledge). Then the difference, or “gap,” between the current and future skill levels was determined, with results ranging from 0 (No Gap) to 3 (Potential Problem). The results shown in the table below indicate that the Commission anticipates no significant gaps or excesses in skill competency levels over the next five years.

Gap Analysis of Workforce												
Skill	Officials/Admin			Professional			Technical			Ad Sup/Para-prof		
	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap
Customer Service	3	3	0	3	3	0	3	3	0	3	3	0
Collaboration	3	3	0	3	3	0	3	3	0	3	3	0
Interpreting Statutes	3	3	0	3	3	0	1	1	0	2	2	0
Conducting Investigations	3	3	0	3	3	0	0	0	0	0	0	0
Processing data files	1	1	0	1	1	0	3	3	0	3	3	0
Develop/Maintain database	1	1	0	0	0	0	3	3	0	0	0	0
Training	2	2	0	3	3	0	2	2	0	2	2	0
Designing materials	0	0	0	3	3	0	3	3	0	2	2	0

**Legend**

Have = Avg. competency level for current employees in job category  
 Need = Avg. competency level needed for future employees in job category  
 0 = No knowledge  
 1 = Minimal knowledge, familiarity with skill  
 2 = Working knowledge, proficiency in skill  
 3 = Professional knowledge, mastery of skill  
 Gap = Difference in skill level between current and future competency levels  
 0 = No gap  
 1 = Minimal gap  
 2 = Some gap  
 3 = Problem gap

## V. Strategy Development

### A. Specific Goals to Address Workforce Competency Gap/Surplus

The Texas Ethics Commission has determined that there are no anticipated gaps or surpluses in workforce numbers or skills for the next five years. However, the Commission will continue to monitor its current workforce and adapt, as needed, to handle any unexpected changes in its mandates.

Based on the analysis of current workforce demographics, there are several issues that the Commission will continue to focus on in order to keep a competent and knowledgeable workforce that is able to accomplish its strategic mission and goals:

- The Commission will continue to follow its recruitment plan to maximize the number of qualified minority, disabled, and female applicants for available positions within all job categories.
- When new employees are hired, the Commission will ensure that they are trained quickly and adequately so that they get up to speed as quickly as possible.
- The Commission will work to keep its turnover rate lower than the State average by continuing to conduct exit interviews, offer the State On-line Exit Survey to voluntarily separating employees, and assess the results to identify retention issues. As the agency foresees losing its first employees to retirement over the next few years, the Commission will document business processes and procedures and cross-train employees to ensure that organizational knowledge is retained.

**Information Resources Strategic Plan**

Table 1: Goals, Objectives and Strategies

Item	Description
Goal 1	Provide information resources to support the agency’s goals of serving as the public repository for information required to be filed with the Ethics Commission; aiding the public in complying with applicable ethics laws by responding to advisory opinions and promulgating rules, forms and educational materials; enforcing compliance with laws administered by the Ethics Commission by responding to sworn complaints, performing investigations and assessing penalties; implementing educational programs for state employees and the Legislature and preparing reports assessing current laws and recommending changes to the Legislature.
Objective 1	Support the agency’s objectives of 1) providing public access to reports required to be filed with the Commission within a timely manner, 2) responding to advisory opinion requests within 60 days and responding to sworn complaints in a timely manner, 3) reaching 100 percent of the state’s public servants with ethics education and 4) recommending enactment of continuing ethics reform for consideration by the Governor and the Legislature.
Strategy 1	<p>Implement, maintain, and upgrade as needed the Commission’s electronic filing system, internal retrieval database, and document imaging and retrieval system in order to facilitate storage and retrieval of information required to be filed with the Commission.</p> <ul style="list-style-type: none"> <li>▪ Action Item 1: Complete re-write of the campaign finance electronic filing software using Visual Basic.</li> <li>▪ Action Item 2: Complete the verification of all imaged reports filed on hardcopy and continue the imaging of current reports filed on hard copy for archival purposes.</li> <li>▪ Action Item 3: Develop electronic filing application for lobbyists.</li> </ul>
Strategy 2	<p>Support the issuance, processing and notification of advisory opinions and sworn complaints.</p> <ul style="list-style-type: none"> <li>▪ Action Item 1: Provide for correspondence between the Commission, complainants and respondents through enhanced telecommunications and word-processing capability.</li> <li>▪ Action Item 2: Provide expanded support for legal research through enhanced telecommunications, CD-ROM capabilities and Internet access.</li> <li>▪ Action Item 3: Maintain and up-grade as needed the sworn complaints database.</li> <li>▪ Action Item 4: Maintain and up-grade as needed the mail tracking system.</li> </ul>

Strategy 3	<p>Support the ethics educational programs for state employees and the Legislature.</p> <ul style="list-style-type: none"> <li>▪ Action Item 1: Provide information resources support to the Commission’s training programs for state employees and the Legislature through enhanced telecommunications, word-processing, desktop publishing and presentation software utilizing related hardware.</li> <li>▪ Action Item 2: Provide for better dissemination of information by making as much data available on the Internet as possible.</li> </ul>
Objective 2	<p>Provide the necessary information resources technology and management to support the Commission and key participants as they fulfill the mission of the agency.</p>
Strategy 4	<p>Improve management of information resources by increasing the level of information technology support for the Commission and its customers.</p> <ul style="list-style-type: none"> <li>▪ Action Item 1: Provide upgraded office automation tools at both the LAN server and desktop levels.</li> <li>▪ Action Item 2: Use integrated hardware and software.</li> <li>▪ Action Item 3: Upgrade hardware. Implement formal help desk with database.</li> </ul>
Strategy 5	<p>Provide training and support for Commission staff to improve productivity and support program areas and initiatives.</p> <ul style="list-style-type: none"> <li>▪ Action Item 1: Keep current with technology through professional publications, seminars and meetings.</li> <li>▪ Action Item 2: Post and circulate educational bulletins, training classes and seminar listings for staff review.</li> <li>▪ Action Item 3: Assist staff in evaluating training needs.</li> <li>▪ Action Item 4: Conduct and attend training classes as needed.</li> </ul>

Table 2: Information Resources Management Organizations, Policies, and Practices

Category	Brief Summary/Overview
IR Priorities	<p>The Board and Executive staff set the priorities for acquisition of information resource technologies, depending on the relationship to the agency goals and cost.</p>
IR Planning Methodology	<p>All information resources for the Commission are coordinated through the Information Resources Manager. The IRM is involved in information resources-related purchases, installations and system modifications. Requests for IR support may originate at any staff level and are prioritized by project rank, funds availability and schedule. The Board and Executive staff set the priorities for</p>

	<p>acquisition of information resource technologies, depending on the relationship to the agency goals and cost.</p> <p>Both the IRM and the Executive Director are involved in the planning for future information resources needs. Program directors and project leaders are consulted for IR requirements before an agency plan is formulated. Upon formulation, the plan is submitted to the Executive Director for review and approval.</p>
<p>Quality-Assurance Practices</p>	<p>The agency’s development methodology promotes quality assurance in development projects.</p> <p>The Commission’s current development methodology consists of 7 steps:  feasibility study  cost/benefit analysis  requirements gathering  design and development  testing  deployment  end of life</p>
<p>Procurement</p>	<p>All procurement is conducted in accordance with the rules set forth by the Texas Building and Procurement Commission and any other applicable statutes.</p>
<p>Disaster Recovery/Business Continuity Planning</p>	<p>The Commission is currently undergoing a Business Impact Analysis in order to bring disaster recovery procedures up to date.</p>
<p>Standards:</p> <p>Resource Use</p> <p>Contract/Consultant</p>	<p>Long distance service furnished or paid for by the State of Texas are to be used for official State of Texas business only. All data stored on computers owned by the Commission is the property of the State of Texas, and is subject to all applicable state and federal laws of information access and discovery.</p> <p>The Commission determines if a contractor will be needed for a project by following our development methodology procedures. If a contract is entered into with a consultant, that consultant provides regular updates to the Commission’s project management team on a pre-determined schedule.</p>

Information Sharing	The Commission has no formal policy on information sharing but is open to the idea within the limitations of current staffing levels.
Training and Continuing Education	Training for Information Resources personnel is determined and provided on an as-needed basis. There are no formal procedures for tracking training. Training for the IRM follows guidelines set forth by the DIR.
Security	The information security officer, with approval from the Executive Director, is responsible for the development, maintenance and monitoring of the agencies information security program. Each employee is required to sign a Statement of Responsibility form, which is placed in the employee's personnel file.
Software Audit and Management	Software Auditing and Licensing practices are being reviewed to comply with HB 1895. The IRM currently keeps records of software purchase orders and licenses and performs periodic software inventories of user PCs with Novell Managewise. Procedures and practices will be refined to guarantee full compliance.
Change Control	Any user of an application may request software changes in writing. After review by a program team, the change may be put in place or rejected. Software code is controlled by PVC control management software.
Data Center Operations	The Commission recently conducted a Business Impact Analysis in order to determine the best off-site alternative. WTDROC services were determined to be cost prohibitive. All systems are currently backed up daily and data stored off site with the State Library.



Table 3: Agency Platforms, Systems, and Telecommunications

Category	Type	Operating System	Database Management System	Capacity / Size / Count	Comments / Descriptive Information
Mainframe	NA	NA	NA	NA	NA
Minicomputer	NA	NA	NA	NA	NA
Network					
LAN Servers (Central)	PC	Novell Netware 4.11		1	file and print server
	PC	NT 4		2	image server
LAN Servers (Remote)					
LAN Client / Workstations (Central)	PC	Windows XP		37	Pentium IV w/ 256 Mb RAM
LAN Client / Workstations (Remote)					
WAN Servers	Sun Ultra 450, Linux on IBM PC	Solaris 2.7 on Sun, Red Hat on Dell Server	Oracle on Sun	1 each	Web server on Sun, DNS and mail on Linux
Stand alone PC Workstations					
Internet Service Provider	Texas Building and Procurement Commission			NA	
Shared Network				NA	

Table 4: Agency Database

Database Name	AMS (Agency Management System)
Database Description	Campaign finance and lobby reports used by Disclosure Filing and Legal staff
Database Type	Oracle 8i
Size	20 Gb
GIS Data Classification	none
Sharing	not shared
Future	Changes will be made, if necessary, to accommodate new legislation

Table 5: Agency Applications

Application Name	AMS
Application Description	Interface to Agency Management System
Application Type	Visual Basic
Size	23 Mb
GIS	none
Sharing	not shared
Future	Changes will be made, if necessary, to accommodate new legislation